

01-12-01-

01/11/01

10966 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 C.F.R. 1.53(b)

Attorney Docket No.

TAG-3 2.001/3658

First Inventor:

Alan Shapiro

Title

PREDICTIVE AUTOMATED ROUTING SYSTEM (PARS)
FOR SECURITIES TRADING

Express Mail Label No.

EL284833704US

APPLICATION ELEMENTS

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27
3. ☒ Specification Total Pages [24]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. [1-6] Drawing(s) (35 U.S.C. 113) Total Pages [6]
5. Oath or Declaration Total Pages [2]
- a. ☒ Executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR §1.63(d)
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR §§ 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or computer Program
(Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS Citations
Statement (IDS)PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(If foreign priority is claimed)
16. ☐ Request and Certification under 35 USC 122(b)(2)(B)(i). Applicant
must attach form PTO/SB/35 or its equivalent.
17. ☒ Other:

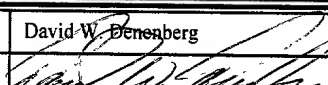
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76
- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

Prior application information Examiner _____ Group/Art Unit _____

For CONTINUATION or DIVISIONAL APPS. Only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

- ☐ Customer Number or Bar Code Label : or ☒ Correspondence address below
(Insert Customer No. Or Attach bar code label here) :

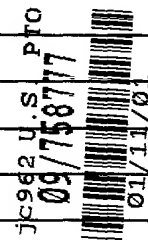
Name	COBRIN & GITTES				
Address	750 Lexington Avenue, 21 floor				
City	New York	State	New York	Zip Code	10022
Country	U.S.A.	Telephone	(212) 486-4000	Fax	(212) 486-4007
Name (Print/Type)	David W. Benenberg		Registration No. (Attorney/Agent)	40,986	
Signature			Date	January 11, 2001	

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number to be assigned
Filing Date concurrently herewith
First Named Inventor Alan Shapiro
Examiner Name to be assigned
Group/Art Unit to be assigned



TOTAL AMOUNT OF PAYMENT (\$678.00)

Attorney Docket No. TAG-3.2.001/3658

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number [03-2317]

Deposit Account Name [COBRIN & GITTES]

☒ Charge any additional fee required under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description		Fee Paid
Code	(\$)	Code	(\$)			
105	130	205	65	Surcharge - Late filing fee or oath		
127	50	227	25	Surcharge - late provisional filing fee or cover sheet		
139	130	139	130	Non-English specification		
147	2,520	147	2,520	Request for Reexamination		
112	920*	112	920*	Req publication of SIR prior to Examiner action		
113	1,840	113	1,840	Requesting publication of SIR after Examiner action		
115	110	215	55	Extension within first month		
116	390	216	195	Extension within second month		
117	890	217	445	Extension within third month		
118	1,390	218	695	Extension within fourth month		
128	1,890	228	945	Extension within fifth month		
119	310	219	155	Notice of Appeal		
120	310	220	155	Brief in support of an appeal		
121	270	221	135	Request for oral hearing		
138	1,510	138	1,510	Petition to institute a public use proceeding		
140	110	240	55	Petition to revive - unavoidable		
141	1,240	241	620	Petition to revive - unintentional		
142	1,240	241	620	Utility issue fee (or reissue)		
143	440	243	220	Design issue fee		
144	600	244	300	Plant issue fee		
122	130	122	130	Petitions to the Commissioner		
123	130	123	130	Petitions related to provisional applications		
126	180	126	180	Submit Info Disclosure Stmt		
581	40	581	40	Patent Assignment per property		\$40.00
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))		
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))		
179	710	279	355	Request for Continued Examination (RCE)		
169	900	169	900	Request for expedited examination of a design appln		

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description		Fee Paid
Code	(\$)	Code	(\$)			
101	710	201	355	Utility filing fee		\$355.00
106	320	206	160	Design filing fee		
107	490	207	245	Plant filing fee		
108	710	208	355	Reissue filing fee		
114	150	214	75	Provisional filing fee		

SUBTOTAL (2) \$355.00

2. EXTRA CLAIM FEES

		Extra Claim		Fee below		Fee Paid
Total Claims	47	-20 =	27	x 9		\$243.00
Indep. Claims	4	-3 =	1	x 40		\$40.00

Multiple Dependent

** or number previously paid, if greater, for reissues, see below

Large Entity		Small Entity		Fee Description		Fee Paid
Code	(\$)	Code	(\$)			
103	18	203	9	Claims in excess of 20		
102	80	202	40	Independent claims in excess of 3		
104	270	204	135	Multiple dependent claim, if not paid		
109	80	209	40	**Reissue independent claims over original patent		
110	18	210	9	**Reissue claims in excess of 20 and over original patent		

SUBTOTAL (2) (\$283.00)

Other fee (specify) _____

**or number previously paid, if greater; For Reissues, see above

*Reduced by Basic filing fee Paid

SUBTOTAL (3)

\$40.00

SUBMITTED BY

Name (Print Type) David W. Denenberg

Registration Number

40,986

Telephone

(212) 486-4000

Signature

[Signature]

Date

January 11, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENT TO: Assistant Commissioner for Patents, Washington, DC 20231